



Form PTO-1449 (Rev. 8-83) (modified)	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE <i>FEB 22 2002</i>	ATTY. DOCKET NO. 13226US02	SERIAL NO. 09/898,850
INFORMATIONAL DISCLOSURE CITATION <small>(Use several sheets if necessary)</small>		APPLICANT(s): Ungerboeck	
		FILING DATE July 3, 2001	GROUP ART UNIT: 2681

U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
DH	A1	5,268,961	12/07/93	Ng	380	19	_____
DH	A2	5,528,628	06/18/96	Park et al.	375	240	_____
DH	A3	5,559,561	09/24/96	Wei	348	470	_____
DH	A4	5,914,840	06/22/99	Kawakami et al.	360	130.23	_____

FOREIGN PATENT DOCUMENTS

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

EXAMINER

R. Miller

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Form PTO-1449 (Rev. 8-83) (modified)	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTY. DOCKET NO. 13226US02	SERIAL NO. 09/898,850
INFORMATION DISCLOSURE CITATION (Use several sheets if necessary)		APPLICANT(s): G. Ungerboeck et al.	
		July 3, 2001	GROUP ART UNIT: 2634 2681

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Sheet 1 of 1

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FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NO.	PUBLICATION DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

DH	Gottfried Ungerboeck, "Chapter 11: Huffman Shaping," <i>Codes, Graphs, and Systems</i> , pp. 295-310 (March 2002).
DA	Julia Abrahams, "Variable-Length Unequal Cost Parsing and Coding for Shaping," 44 IEEE Transactions on Information Theory, No. 4, pp. 1648-1650 (July 1998).
DA	Frank R. Kschischang, "Optimal Nonuniform Signaling for Gaussian Channels," 39 IEEE Transactions on Information Theory, No. 3, pp. 913-929 (May 1993).
DH	Steven W. McLaughlin et al., "Shaping Codes Constructed from Cost-Constrained Graphs," 43 IEEE Transactions on Information Theory, No. 2, pp. 692-699 (March 1997).

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Institute Form 1449A/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Sheet 1 of 1

Complete if Known

Application Number	09/898,850
Filing Date	July 3, 2001
First Named Inventor	Gottfried Ungerboeck
Group Art Unit	2681
Examiner Name	Not assigned
Attorney Docket Number	13226US02

U.S. PATENT DOCUMENTS					
Examiner Initial*	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code ² (if known)			
A1					RECEIVED
A2					APR 12 2004
A3					
A4					
A5					
A6					Technology Center 2600

FOREIGN PATENT DOCUMENTS					
Examiner Initials*	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Country Code ³ -Number ⁴ -Kind Code ⁵ (if known)			
DH	A7	DE 197 48 880 C 1	05/12/1999	DEUTSCHE TELEKOM AG	Col. 2, line 17 – line 22; Col. 3, line 41 - 44
	A8				
	A9				
	A10				
	A11				

OTHER ART – NON PATENT LITERATURE DOCUMENTS					
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published			
DH	A12	B. Vasic et al., "Scrambling for Nonequiprobable Signalling", Electronics Letters, IEE Stevenage, GB, vol. 32, no. 17, August 15, 1996, pages 1551-1552.			
	A13				
	A14				
	A15				
	A16				

EXAMINER SIGNATURE	DATE CONSIDERED
<i>Paula L. Lai</i>	10/25/04

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